

~~XXXX~~ PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Kutter  
APPLICATION NO.: 09/921,298  
FILING DATE: August 1, 2001  
TITLE: Methods and Systems for Direct Execution of XML Documents  
EXAMINER: To Be Assigned  
GROUP ART UNIT: To Be Assigned  
ATTY. DKT. NO.: 22358-04989

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: 9/06/01

By: Laura Majerus  
Laura A. Majerus, Reg. No.: 33,417

COMMISSIONER FOR PATENTS  
WASHINGTON, DC. 20231

**INFORMATION DISCLOSURE STATEMENT**  
**Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. A copy is enclosed herewith of each listed reference which may be material to the examination of this application, and with respect to which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

The Information Disclosure Statement submitted herewith is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first official action on the merits, whichever event last occurred;  
OR
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either:
  - (1) a final action under 37 CFR §1.113; OR
  - (2) a notice of allowance under 37 CFR §1.311; AND
  - ☐ attached hereto is the fee of \$180, as set forth under 37 CFR §1.17(p), for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;  
OR
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.
- OR
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either:
  - [1] a final action under 37 CFR § 1.113; OR
  - [2] a notice of allowance under 37 CFR § 1.311; AND  
in accordance with the requirements of 37 CFR § 1.97(d):
  - ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:

- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND
- ☐ Applicant hereby respectfully petitions for the consideration of the accompanying Information Disclosure Statement under 37 CFR § 1.97(d)(2); AND
- ☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).

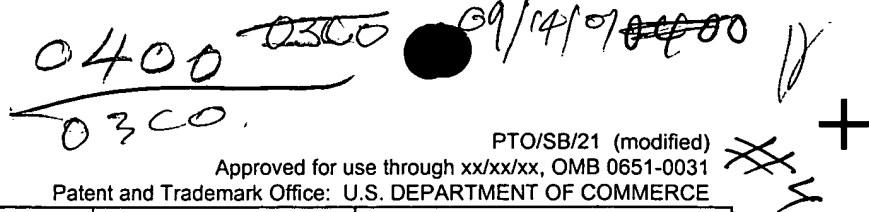
☒ Applicant submits that no fee is required for the consideration of the accompanying Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
KUTTER

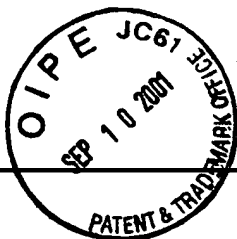
Dated: Sept 06, 2001

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Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE



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FORM PTO-1449  
(REV. 6-89)U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAttorney's Docket No.  
22358-04989Serial No.  
09/921,298**INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

Applicant

Kutter

Filing Date  
August 1, 2001Group Art Unit  
To Be Assigned**U.S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate

**FOREIGN PATENT DOCUMENTS**

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

	A	Ciancarini, P. <i>et al.</i> , "An Extensible Rendering Engine for XML and HTML," Computer Networks and ISDN Systems, NL, North Holland Publishing, Amsterdam, vol. 30, no. 1-7, 1 April 1998, pp. 225-237
	B	"OMG XML Metadata Interchange (XMI) Specification," URL: <a href="http://citeseer.nj.nec.com/388952.html">http://citeseer.nj.nec.com/388952.html</a> June 2000
	C	Suzuki, J. <i>et al.</i> "Toward the Inoperable Software Design Models: Quartet of UML, XML, DOM and COBRA" Proceedings 4 <sup>th</sup> IEEE International Software Engineering Standards Symposium and Forum (ISESS '99) Best Software Practices for the Internet Age, Proceedings of IEEE Computer Society 4 <sup>th</sup> International Symposium and Forum on Software Engineering Stand, pp. 163-172, 1999
	D	Kristensen, A., "Template Resolution in XML/HTML" Computer Networks and ISDN Systems, NL, North Holland Publishing, Amsterdam, vol. 30, no. 1-7, 1 April 1998, pp. 239-249

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.

22358/04989/1205216